

***Ridge to Reef Watershed* Grants Management Handbook**

What, How and Why

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Welcome!

This Handbook is designed to help you walk through the steps needed to apply for a grant from the Ridge to Reef Watershed Project (R2RW). First, let's go over the basic conditions which need to be satisfied before anyone can apply for a grant:

- o You must represent a known, non-profit group**
- o You must be active in the target watershed area**
- o You must have a development project in mind for your community**
- o The objectives of the project must conform to R2RW's and the local Watershed Management Committee's (WMC) development priorities**



the representative of the WMC, or an Officer of R2RW such as the Watershed Grants Officer (WGO) can clarify what kinds of projects the local communities have said are the most important for them in improving local Watershed quality.

Grant Mechanisms

Let's take a quick look at how the grants will work -

- grant applications are available from the WMC or any Officer of R2RW**
- the WGO can assist you in putting together your project and financial plans for your application**
- depending on your organization's capacity, two different levels of grants are being offered:**

Stage One Grants, for organizations which are relatively inexperienced in project management

- grants of up to US\$15,000
- basic management training available, as needed
- short term technical project assistance also available
- initial funding advance available, as needed *

Stage Two Grants, for more experienced organizations

- eligible for grants exceeding US\$15,000
- short term technical project assistance available
- should, in most cases, be able to advance their own initial funding for eventual reimbursement from R2RW *

The WGO will help you determine which type of grant to apply for.

* These grants will work on a tranche reimbursement mechanism, i.e. after you achieve a milestone, your expenses leading to that milestone will be *reimbursed* by R2RW. If your organization cannot afford to advance the sum required for the first milestone, an advance of funds from R2RW for the first milestone may be discussed.

If you believe your Organization is eligible for a grant, and your project fits the priorities of R2RW and the local WMC, the first step in the process is to complete an application form and a Financial Plan for your project.

We have tried to create very simple forms for use with R2RW; again, the WGO is available to help you in filling out these forms – although the underlying ideas always remain your responsibility. The application form looks like this:

Grant Application Form



Ridge to Reef Watershed Grant Application

1. Organization's Name

1.1. Organization's Telephone, FAX

1.2. Organization's E-mail

1.3. Organization's Representative & Title

2. Project Title

2.1. Brief Statement of Problem; Project Objective/Anticipated

Results

2.2. Beneficiaries

2.3. Other Donors & Partners

2.4 Task #	Task	Implementer	Measurable Milestone *	Duration
1				
2				
3				
4				
5				

* Milestones are not required for each Task, but are required for reimbursement

Month One				
2.5	Week One	Week Two	Week Three	Week Four
1				
2				
3				
4				
5				

Let's go through this, point by point...

Section 1 just asks for basic contact information about your organization;

Section 2 is where you tell R2RW about your project.

- 2.1: What is the community problem you're trying to address and resolve? What are the anticipated results, i.e. what will have been achieved by the end of the project if everything goes as planned?
- 2.2: Who will the beneficiaries be – how many? Where do they live? Have they been involved in planning this project? Have you considered age group and gender issues, if any (for instance, will this project have a negative effect on older citizens, or have women been fully involved in project planning?)
- 2.3: Do you have other Donors or Partners who will also be contributing to this project?

Section 2.5 is a Table. This is where the planning work really starts: you need to break your project idea down into the individual *Tasks* you will need to perform, in consecutive order, if you are going to accomplish your goals.

For instance, if your project involves plans to plant trees on a barren hillside outside of your village, the tasks involved might be:

- purchase 200 saplings from town
- transport saplings to village
- borrow 20 shovels from neighboring village
- request technical assistance from Forestry Dept. as to how best plant the saplings
- distribute shovels & saplings to planting committee
- plant and water saplings

➔ *Note:* we are working with a fairly vague notion of 'Task' here as an inherent *group* of smaller activities. For example, if you had a task called 'purchase of trees', in reality this would incorporate a whole bunch of related 'mini-activities', i.e. you would have to find out where a dependable tree nursery is located, go there, look at their stock, possibly talk with their technical expert and negotiate a good price. All of this *before* you could actually purchase the trees.

Yet all of these 'mini-activities' logically seem related to the inherent need to purchase trees. In defining your tasks, you have to be careful not to lump together groups of primary activities ('Plant new trees' is made up of purchase of trees, transport of trees, distribution of trees and the planting), but you also don't want to break a project down into too many 'mini-activities' – or you'll never get done!

You've now listed 6 tasks required to complete your project; you can now begin to fill in the rest of table. You now need to decide who exactly will be responsible for each task – put their names under 'Implementer'. In most cases, you should strive to put names of real people here, rather than just listing a group such as your organization.

'Milestones' are *measurable* accomplishments you expect to achieve during your project; grant reimbursements will be based directly on these accomplishments. These milestones ***must*** be measurable: a milestone like "The hillside is green again" or "The villagers are much happier now" will ***not*** be accepted as milestones because they are not measurable. Instead, your first milestone could be "200 saplings purchased and delivered to the village". This is a *measurable* milestone, easily verified.

Note that you do not have to tie a milestone to every task; in the example we just used, the first milestone – 200 saplings purchased & delivered – actually fits with Task 1 *and* Task 2: the purchase, then the transportation. This is perfectly acceptable – just be aware that there would be no reimbursement for your expenditures until after the second task, when your first milestone is achieved.

The last column of the table is 'Duration' – how long do you think each task will reasonably take? Be sure to allow your project enough time for each task to make up for unforeseen delays (the nursery won't have your saplings until Thursday). You don't want to overestimate the time you will need too much, but you certainly don't want to underestimate it either.

Your table will now look something like this:

2.4 Task #	Task	Implementer	Measurable Milestone *	Duration
1	purchase trees	George	n/a	2 days
2	transport trees	George	200 trees at village	2 days
3	borrow shovels	Angela	n/a	1 day
4	get technical assistance	Louis, Mark	10 villagers trained	1 week
5	distribute trees	Karen, Angela, George	n/a	1 week
6	plant & water trees	Planting Committee	200 trees planted	2 weeks

Now, using the duration you've already listed, schedule out your activities in the second table:

The next Section, 2.5, is also a Table. All that is required here is to put your project activities into a project calendar. Let's say it is now the beginning of June and you would like to start your project at the beginning of July if the funding is approved in time. You have already numbered your tasks 1-6; now show when you would intend to *implement* these tasks, based upon your estimated duration of each task.

Month One				
2.5	Week One	Week Two	Week Three	Week Four
1	X			
2	X			
3		X		
4		X		
5			X	
6				X

Month Two				
	Week One	Week Two	Week Three	Week Four
6	X			

You wanted to start in the first week of July ('Month One'); following the estimated duration of each task you projected, this has you finishing in the first week of August ('Month Two'). Notice, if you stay on schedule, you would be able to request reimbursement after Weeks 1, 2 and Week 1 of Month Two, when your milestones would be achieved.

The second page of the application asks for some more general information:

- 2.6. Desired Date of Start Up:**
- 2.7. Desired Date of Completion:**
- 2.8. Assumptions & Dependencies:**

3. Brief Organizational History:

3.1 Previous Project Management Experience:

3.2 Independent References:

4. Financial Plan (attach)

5. On behalf of the Organization identified in Section 1, I hereby certify that this application is accurate and truthful to the best of my knowledge:

- 5.1. Name**
- 5.2. Title**
- 5.3. Signature**
- 5.4. Date**

You already know your desired Date of Start Up and your Desired Date of Completion – again, be careful not to underestimate the time you may require if problems arise.

‘Assumptions and Dependencies’ are very important for your organization to clearly identify. An assumption is just that – what assumptions is your project plan built on? For instance, you’re assuming that the trees you want to buy will be available, that the shovels you want to borrow from your neighbors won’t be needed by them, and that the forestry agent who offered you technical assistance won’t be ill or on vacation.

Dependencies are tasks that are *dependent* on another task already having been accomplished, i.e. you can’t plant trees you haven’t been able to buy yet.

We also ask you for a brief Organizational History. How long has your group been together, how many members do you have, what is the main mandate of your group?

In Section 3.1, briefly but clearly describe any other development projects your group may have managed in the recent past, and how big of a budget it entailed. In Section 3.2, list others who are not members of your group but who can attest to your past management accomplishments.

That's about it. Now we need to discuss how you put your project's Financial Plan together (please note that all estimated costs in your Financial Plan should be expressed in **Jamaican dollars**).

Ridge to Reef Watershed Grant Financial Plan

R2RW

Grant Line Item

Task 1

Task 2

Task 3

Task 4

Task 5

∞

Total

Services

1

2

3

4

5

Sub total

0

0

0

0

0

0

0

Travel

Transport

Procurement

1

2

3

Sub total

0

0

0

0

0

0

0

Other (Itemize)

1

2

3

Sub total

0

0

0

0

0

0

0

Total:

0

0

0

0

0

0

0

From Grant Application:

Milestone 1:

Milestone 2:

Milestone 3:

Tranche Reimbursements:

Task 1 & 2:

Task 3 & 4:

Task 5:

Total:

0 ok

It may not look it, but this is really a very simple financial form to complete. You have already broken your project down into a fixed number of specific tasks in your application form – now all you need to do is tell us how much, per task, you need R2RW to contribute for each 'line item' (i.e. each *type* of expenditure).

For instance, for the first task, 'Purchase of Trees', would you need to pay for any services (fees, salaries, etc.)? Since George, a member of your group, is taking responsibility for this, probably not. The time George expends on this task, which is valuable, could be listed as part of your group's contribution in a later section. However, George will have to travel to town to buy the trees, although this should probably be counted as a local contribution as well. R2RW definitely expects to see a substantial local contribution to project costs (normally at least 50%), whether in cash or in kind.

You are also going to have to pay for the saplings you buy; if you wanted support from R2RW for this cost, then under 'Procurement' for Task 1, you would put the amount you expect the trees will cost. The likely cost should be well researched in advance; R2RW may ask you for several independent quotes if the cost seems questionable.

You would now complete this section, detailing every expenditure for each Task for which you are requesting grant support. Once completed, this section should look something like this:

	Ridge to Reef Watershed Grant Financial Plan							
	R2RW	<i>Jamaican dollars</i>						
	Grant Line Item	Task 1	Task 2	Task 3	Task 4	Task 5	Task 6	Total
	<u>Services</u>							
1	Forestry Agent				7,000		7,000	14,000
2	Technical Writer				5,500			5,500
3	Irrigation specialist						9,000	9,000
4								0
5								0
	<i>Subtotal</i>	0	0	0	12,500	0	16,000	28,500
	<u>Travel</u>				500		2,000	2,500
	<u>Transport</u>		3,000			3,000		6,000
	<u>Procurement</u>							
1	tree purchase	15,000						30,000
2	irrigation piping						20,000	20,000
3								0
	<i>Subtotal</i>	15,000	0	0	0	0	20,000	35,000
	<u>Other (Itemize)</u>							
1	printing of training materials				5,000			5,000
2	final survey							7,000
3								0
	<i>Subtotal</i>	0	0	0	5,000	0	0	5,000
	Total:	15,000	3,000	0	18,000	3,000	38,000	77,000

The next section is basically just taken from your application form; in your task table (Section 2.4 of your application), you show milestones after Tasks 2, 4 & 6.

From Grant Application:		Task 1	Task 2	Task 3	Task 4	Task 5	Task 6
	Milestone 1:						
	Milestone 2:						
	Milestone 3:						
Tranche Reimbursements:							
	Task 1 & 2:		18,000				
	Task 3 & 4:		18,000				
	Task 5 & 6:		41,000				
	Total:		77,000				

We then just total the costs of the tasks combined by milestones, and see how much you expect to be reimbursed by milestone. Note that the total requested, J\$77,000, agrees.

The next section of the Financial Plan is where you show the contribution of your group and/or the Community ('Local Contribution') and any contributions you might expect from other Partners or Donors:

	Contributions:							
		<i>Jamaican dollars</i>						
		Task 1	Task 2	Task 3	Task 4	Task 5	Task 6	Total
	R2RW	15,000	3,000	0	18,000	3,000	38,000	77,000
	* Grantee:	8,500	8,500	2,000	30,000	12,200	90,000	151,200
	* Other Donor/Partner:	0	0	0	0	0	0	0
	Total:	23,500	11,500	2,000	48,000	15,200	128,000	228,200

Since in this imaginary project you have no other Partner or Donor, their contribution is listed as 0. Underneath this summary of your contribution you *must* itemize what this contribution consists of:


		* Grantee & Other contributions must be itemized, by Task, below:							
Grantee:									
Task 1:	4,000	2 days of George's time							
	3,500	George's hotel							
	1,000	George's meals, misc. expenses							
total:	8,500								
Task 2:	4,000	2 days of George's time							
	3,500	George's hotel							
	1,000	George's meals, misc. expenses							
total:	8,500								
Task 3:	2,000	Travel & Transport of shovels							
Task 4:	30,000	1 day for 20 volunteers							
Task 5:	10,200	2 days for Karen, Angela & George							
	2,000	travel costs							
total:	12,200								
Task 6:	90,000	3 days each for 20 volunteers							
Total:	151,200								



Please note that all unskilled labor (such as digging holes for the tree planting) is contributed by the local community; R2RW will ***not*** pay for unskilled labor.

One final section remains that is concerned with whether your project will result in recurring costs which will need to be supported in the future. By *recurring costs*, we mean money that will have to be periodically expended to sustain what you have accomplished through your project.

In this example, volunteers would need to regularly water the trees during dry seasons, and possible do some weeding. However, since the community intends to volunteer their labor for this, we will put the 'Recurring Costs' Section as 0:

Will any recurring costs result from this project? If so, how will they be addressed?							
No - the community has volunteered to take care of all watering and weeding needs.							

With this, your Grant Application and Financial Plan are complete; it would be a good idea to review them one last time with your WGO before he/she sends it on to R2RW where it will be reviewed and decided upon. R2RW may ask you to make some changes before approving it.



Related Documents

You may ask your WGO to see other documents which R2RW uses to methodically and transparently evaluate your organization and grant request:

- the ***Management Capacity Gauge*** for helping to determine if you should apply for a Stage One or Stage Two grant, and
- the ***Grant Criteria*** and ***Criteria Definitions*** for gauging which grant requests should ultimately be funded.

Please note that R2RW will consider your request and try to come to a final decision as quickly as it possibly can; applicants should not be made to wait without response for unreasonable periods of time. Should your request be declined, you may always rework it with R2RW feedback and resubmit.



Fund Management

If your Grant is approved, you will be required to open a special bank account where only R2RW funds will be kept. Once funds have been received into the account, several guidelines must be followed:

- at least minimally acceptable accounting standards must be satisfied, including regular maintenance of a comprehensive ledger and monthly bank reconciliations**
- whenever possible, expenditures should be transacted through bank checks**
- you must maintain an accurate accounting of all Petty Cash (cash you take out of the Bank and keep in your offices for miscellaneous project expenditures); under no circumstances are amounts greater than J\$12,500 to be withdrawn from the bank in cash without prior written approval from R2RW**

Project Report Forms

When your grant has been approved, the WGO will go over all of the provisions in the Grant Agreement that we will need to sign with you. It is of utmost importance that you clearly understand every clause of the Agreement before you sign it.

Once you have begun project activities, you will need to report periodically to R2RW as to how the project is progressing and what money you have expended. Since this Grant Program is tied to measurable milestones, and you are not reimbursed for expenses you've incurred until you have arrived at one of your approved milestones, reporting also is tied to the milestones. When you have achieved a milestone, it is time to request reimbursement from R2RW. Again, we have tried to make this form as simple and quick as possible.

Request for Reimbursement Form



1. Name of Grantee:
2. Address of Grantee:
3. Grantee Telephone:
4. Grantee FAX:
5. Grantee E-Mail:
6. Grantee Stage:
7. Full Project Title:
8. Grant Reference Number:
9. Grant Beginning Date:
10. Estimated Duration of Grantee Project:
11. Estimated Grant Completion Date:

From Approved Grant Application:

2.4 Task #	Task	Implementer	Measurable Milestone *	Duration
1				
2				
3				
4				
5				

12. Which Milestone have you recently completed, for which you have not as yet been reimbursed?
13. Was this Milestone successfully and entirely achieved?
14. If not, what obstacles were encountered?
15. How do you propose to resolve these obstacles in the future?

The first 11 questions are just basic information. The table comes directly from your approved grant application. Questions 12 – 16 concern the progress of your project and how well you feel it is coming, as well as any difficulties you've experienced and how you're dealing with them (you may have also already discussed these issues with the WGO).

The second page deals with your expenditures to date:

Funds expended for Tasks stipulated in Section 16:
 (Original Receipts justifying expenditures must be included with this request)

Note: 'Budget' column should reflect only approved expenditures for this reporting period

Grant Line Item	Task 3	Task 4	Total	Budget
<u>Services</u>				
1			0	0
2			0	0
3			0	0
4			0	0
5			0	0
Subtotal	0	0	0	0
<u>Travel</u>				
			0	0
<u>Transport</u>				
			0	0
<u>Procurement</u>				
1			0	0
2			0	0
3			0	0
Subtotal	0	0	0	0
<u>Other (Itemize)</u>				
1			0	0
2			0	0
3			0	0
Subtotal	0	0	0	0
Total:	0	0	0	0

Contributions:

Jamaica Dollars

	Task 3	Task 4	Total	Budget
R2RW	0	0	0	0

* Grantee:

her Donor/Partner:

Total: 0 0 0 0

Requestor's Signature:

Date:

Requestor's Title:

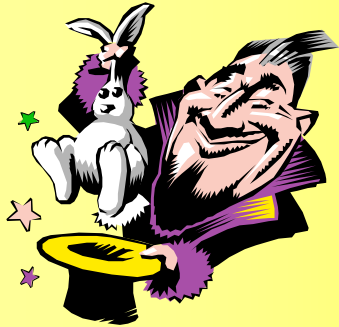
Watershed Grants Manager's Comments & Signature, Date:

This table is very much like your Financial Plan; the sole difference is that it comprises costs for your current reporting period only, i.e. all of your approved expenditures since your last reimbursement, if any, or your initial Tranche advance, if applicable. The same applies for your reporting on the local contributions for the reporting period as well as any contributions from other Donors or Partners.

You will notice that the last column is to reflect your approved budget for this period so you can get an idea of how you are doing in complying with your budget – remember, only approved expenditures within your budget will be reimbursed (there is a 10% freedom of moving funds between line items, as long as you don't exceed the total amount approved).

Once completed, you submit this form to your WGO.

Close of Project Form – Final Request for Reimbursement



1. Name of Grantee:
2. Address of Grantee:
3. Grantee Telephone:
4. Grantee FAX:
5. Grantee E-Mail:
6. Grantee Stage:
7. Full Project Title:
8. Grant Reference Number:
9. Grant Beginning Date:
10. Estimated Duration of Grantee Project:
11. Estimated Grant Completion Date:

From Approved Grant Application:

2.4 Task #	Task	Implementer	Measurable Milestone *	Duration
1				
2				
3				
4				
5				

12. Have all Tasks and Milestones listed above been successfully and entirely completed?
13. If not, which were not entirely achieved and why?
14. How do the project's actual results compare to the anticipated results specified in your Grant Application?

Fill out all Funds expended, by line item, for all Tasks:

R2RW								
Grant Line Item	Task 1	Task 2	Task 3	Task 4	Task 5	Total	Budget	variance
<u>Services</u>						0	0	0
						0	0	0
						0	0	0
						0	0	0
						0	0	0
Subtotal	0	0	0	0	0	0	0	0
<u>Travel</u>						0	0	0
<u>Transport</u>						0	0	0
<u>Procurement</u>								
						0	0	0
						0	0	0
						0	0	0
Subtotal	0	0	0	0	0	0	0	0
<u>Other (Itemize)</u>								
						0	0	0
						0	0	0
						0	0	0
Subtotal	0	0	0	0	0	0	0	0
Total:						0	0	0

Contributions:

	Task 1	Task 2	Task 3	Task 4	Task 5	Total	Budget	variance	
R2RW	0	0	0	0	0	0	0	0	
Grantee:									
her Donor/Partner:									
Total:	0	0	0	0	0	0	0	0	

Requestor's Signature:

Date:

Requestor's Title:

Watershed Grants Manager's Comments & Signature, Date:

This is the final report you submit after you have completed your project and are requesting your final reimbursement; it is nearly identical to the Request for Reimbursement Form.

The only real difference is that the second page, dealing with expenditures, covers your expenses through the entire project, not just the final reporting period, since this is a final report. You will now be able to see how you have performed financially against your entire approved budget – the column 'variance' will specifically show you this. Hopefully, you have been following that all along.

Again, this form should be submitted to your WGO.



That's pretty much what you need to know to apply for and manage a R2RW grant. The WGO is there to assist to his/her best ability whenever you have questions or difficulties. Of course, you can also contact the R2RW offices in Kingston.

We hope this Handbook has been helpful – if you have any suggestions, please just let us know how it can be improved to be even more useful.

